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PTO/SB/05 (4/98)
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **CALT-2973**
First Inventor or Application Identifier **Lee J. Burrows**
Title **Ion Exchange Waveguides and Methods...**
Express Mail Label No. **EL100016887US**

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☐ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **38**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **7**]
4. Oath or Declaration [Total Pages **1**]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of
(when there is an assignee) ☐ Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 ☐ Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
 - * Small Entity ☐ Statement filed in prior application,
Statement(s) ☐ Status still proper and desired
(PTO/SB/09-12)
13. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
14. ☐ Other: _____
15. ☐ Other: _____

**NOTE FOR ITEM 12: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT
IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.20).**

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

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Name (Print/Type)	David B. Ritchie	Registration No. (Attorney/Agent)	31,562
Signature		Date	15 OCT 1999

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:) Art Unit:
Lee J. Burrows)
) Examiner:
Serial No. [Not yet assigned])
)
Filed: October 15, 1999)
)
For: <u>ION EXCHANGE WAVEGUIDES AND</u>)
<u>METHODS OF FABRICATION</u>)

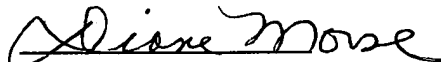
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Date of Deposit: October 15, 1999

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 Assistant Commissioner for Patents
 Washington, D.C. 20231


 Diane Morse

TRANSMITTAL LETTER

Honorable Assistant Commissioner
 for Patents
 Box Patent Application
 Washington, D.C. 20231

Dear Sir:

Enclosed for filing please find the patent application for an invention entitled, "ION EXCHANGE WAVEGUIDES AND METHODS OF FABRICATION", filed on behalf of California Institute of Technology, assignee from inventor Lee J. Burrows, including Utility Patent Application Transmittal, 24 pages of specification, 13 pages of claims, 7 sheets of drawing figures, and 1 page of Abstract.

The attorney's Docket Number is CALT-2973.

Kindly address all communications regarding this application to:

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No fee is being paid at this time.

Respectfully submitted,
D'ALESSANDRO & RITCHIE



David B. Ritchie
Reg. No. 31,562

Dated: October 15, 1999

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